



**Office of Enterprise Compliance Report - Matrix**  
**April 2008**

**Attachment A**

	<b>DATE OF ASSIGNMENT</b>	<b>STATUS</b>
1. Program Activities	Ongoing	<p>The Assistant Division Chief conducted one session of New Employee Orientation, CalPERS "Working Values" in April.</p> <p>The CCO hosted the Council of Compliance Officers teleconference on March 27, 2008, attended by national and international Compliance professionals.</p>
2. Reporting Non-Compliance Issues	Ongoing	Ongoing
3. Enterprise Compliance Risk Assessment	Ongoing	ECOM staff analyzing division's compliance self-assessments and developing an Executive-level summary, including recommendations for enterprise-wide risk management priorities.
4. Compliance Area Manager - Investments	Ongoing	<p>Compliance Area Manager (CAM), Investments is monitoring daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed.</p> <p>Worked with CalPERS Investments Office and Legal Office on Investment policy review.</p> <p>CAM, Investments, CCO reviewing, approving or denying Pre-clearance Requests daily.</p>



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5. Compliance Area Manager-Health	Ongoing	Work with Health business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.
6. Compliance Area Manager- Pension	Ongoing	Work with Pension business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.